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ABSTRACT

Based on the document "Final Report on the Study to Develop a Library Automation Blueprint for the New Jersey Library Network" (December 1987) and the reaction to it by the New Jersey library community, this plan was produced to guide the New Jersey State Library in meeting the goal of developing one statewide database containing the holdings information of all libraries in New Jersey. The plan is centered around the statewide bibliographic database, which is defined, and its purpose, goals, and architecture are outlined in the first section. The second section outlines the State Library's thinking on the broad issues that impact on any automation plan. Specific action steps that the State Library plans to implement between 1989 and 1993 are contained in the third section. Appended are: (1) a brief discussion of continuing education as it relates to the plan; (2) a brief overview of State Library activities since 1980; and (3) a list of the members of the ad hoc steering committee to advise the Library Development Bureau on implementation of the automation blueprint. (GL)

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Automation Action Plan :

Implementing the New Jersey Library

Automation Blueprint

Accepted by
Barbara F. Weaver
Assistant Commisioner of Education
and State Librarian
Division of State Library

Developed by the
Library Development Bureau
under the direction of
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PTM No. 900.31

January 1989

THE AUTOMATION ACTION PLAN:

IMPLEMENTING THE NEW JERSEY LIBRARY AUTOMATION BLUEPRINT

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INTRODUCTION

The Automation Action Plan: Implementing the New Jersey Library Automation Blueprint proposed by the Library Development Bureau with the advice of the "Ad Hoc Steering Committee to Advise the Bureau on implementation of the Automation Blueprint" was approved by Assistant Commissioner of Education and State Librarian Barbara F. Weaver in January 1989. The Action Plan will guide the activities of the State library in supporting library automation in New Jersey during the next several years, and, as such, will be of great interest to all libraries in New Jersey.

The Automation Action Plan is based on the library automation blueprint contained in the Final Report on the Study to Develop a Library Automation Blueprint for the New Jersey Library Network (December 1987) prepared by King Research, Inc. and the reaction to it as documented in the report New Jersey Library Community Response to the Final Report... (July 1988). The broad concepts upon which the King Research, Inc. blueprint proposals are based are:

- that there be one statewide database containing the holdings information of all libraries in New Jersey; and
- that OCLC continues currently to be the best vehicle available for housing the statewide database.

These broad concepts have become more specific as this Action Plan developed.

The statewide bibliographic database, around which the Action Plan is centered, is defined and its purpose, goals and architecture are outlined in Section 1 of the Action Plan while the State Library's thinking on the broad issues that impact on any automation planning can be found in Section 2, Working Premises. The specific action steps the State Library plans to implement between 1989 and 1993 are in Section 3. A brief discussion of continuing education (Appendix I) as it relates to the Action Plan and a brief overview of State Library activities since 1980 are appended (Appendix II). A list of the "Ad Hoc Steering Committee..." is also included (Appendix III).

It is important to emphasize that the Action Plan calls first for funding for a variety of experimental projects to build and maintain, access and use the statewide bibliographic database. It also calls for studies to further explore and make recommendations on issues and concerns that were raised as part of the King Research, Inc. proposals. Only after the results are in from these experiments and studies will specific methods of building and maintaining the statewide bibliographic database and accessing and using the information the database contains be determined and implemented.

The New Jersey library community, in responding to the surveys and interviews conducted by King Research, Inc. and at the hearings held on the report around New Jersey in the early summer of 1988, called upon the State Library to exercise leadership in automation. This leadership can be exercised in many ways:

- through defining the purpose, goals and objectives of the statewide bibliographic database;

- through formulating and communicating a global vision of automation for the libraries in New Jersey;

- through the development and support of methods to build and maintain the statewide bibliographic database;

- through grants for demonstration and/or pilot projects which will explore options for accessing and using the statewide bibliographic database;

- through the issuance of automation guidelines, checklists and decision trees to help local libraries make automation decisions;

- through experiments improving access for residents, both through libraries and directly; and

- through continuing education efforts aimed at raising general automation awareness and expanding the automation horizons of members of the New Jersey library community.

Implementation of the Automation Action Plan is one method by which the State Library exercises its leadership. In the Final Report... King Research, Inc. recommends appropriate roles for the State Library. They are building the statewide bibliographic database; providing methods of accessing and using this database; encouraging the coordinated development of local automated systems; and addressing the continuing education needs of New Jersey libraries in the area of automation. The Action Plan that has been developed by the State Library further defines these roles and builds upon the groundwork that has been laid in New Jersey since 1980 through the various grant programs and activities developed and funded by the State Library.

Through implementation of the Action Plan:

1) the State Library will continue to provide automation leadership in New Jersey;

2) local decision making on automation projects can continue within the framework of the Action Plan and local libraries and groups of libraries will have the assurance that they are part of and contributing to a larger statewide effort; and

3) by not singling out the one technology that is "right" for everyone and by focusing our efforts on exploring methods of providing access to and use of the bibliographic resources of the state, our options to utilize new technologies in the future remain open.

--- Robert A. Drescher
Head, Library Development Bureau

New Jersey Statewide Bibliographic Database

Definition:

The library community of New Jersey, with the assistance and encouragement of the New Jersey State Library, is creating a statewide bibliographic database which contains bibliographic information about, and local holdings information for, the material resources (regardless of format) of academic, institutional, public, school and special libraries. The statewide bibliographic database is defined as all machine readable bibliographic records of New Jersey Library Network members which conform to the current national standards* for the electronic maintenance, retrieval and storage of library records. The New Jersey State Library supports the statewide bibliographic database as a tool for resource sharing between libraries and for resident access to information about the material resources of all New Jersey libraries.

Purpose:

The purpose of the New Jersey statewide bibliographic database is to provide access to all material resources in New Jersey libraries.

Goals for the New Jersey Statewide Bibliographic Database:

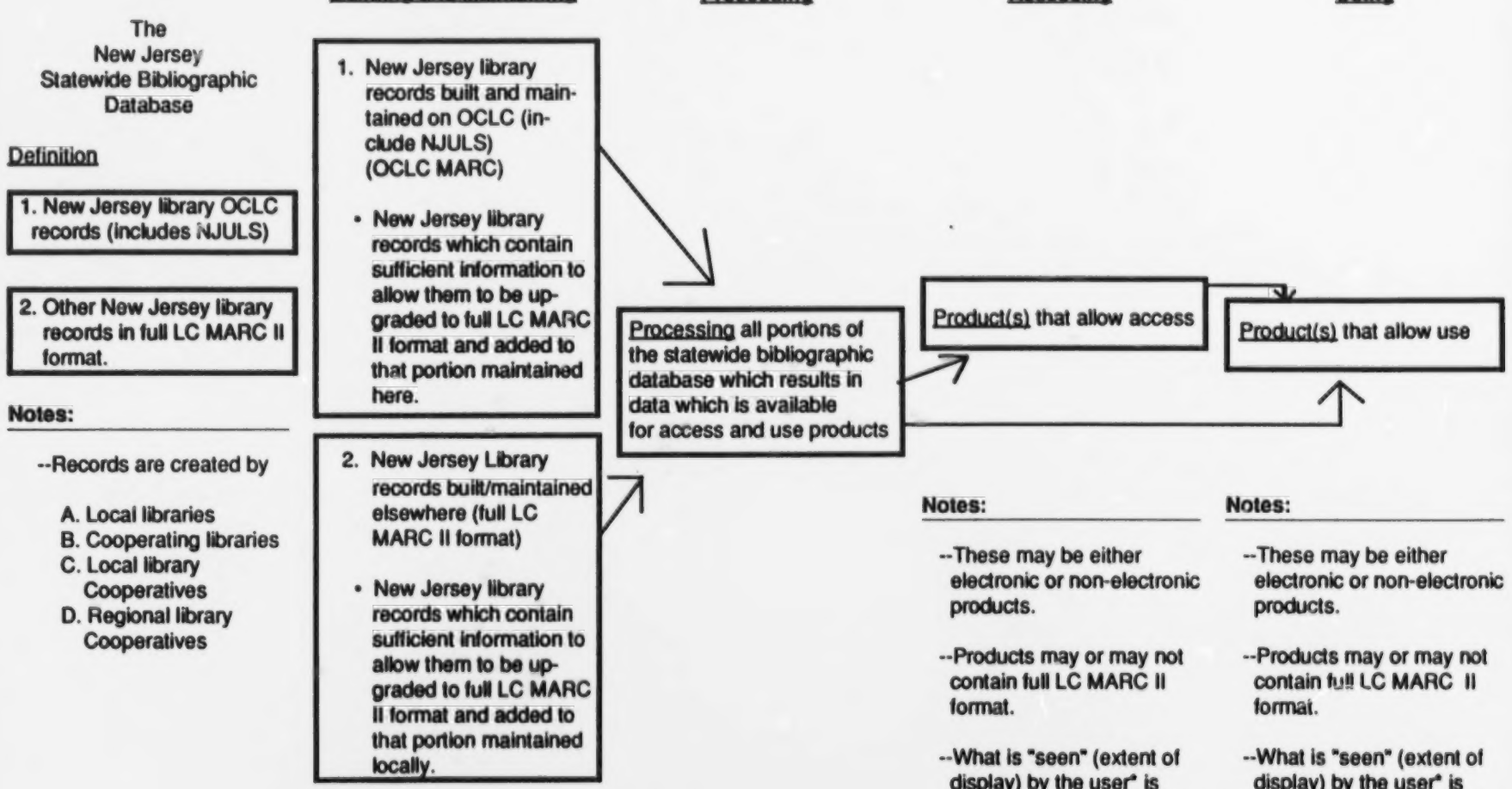
To include information about all the library material resources of all New Jersey libraries.

To facilitate resource sharing among members of the New Jersey Library Network.

To facilitate direct access to information about library material resources for all New Jersey residents.

*See Working Premise 1 for a discussion of how national standards are applied to records in the New Jersey statewide bibliographic database.

Proposed Architecture
NJ Statewide Bibliographic Database


Building and Maintaining
Processing
Accessing
Using
The New Jersey Statewide Bibliographic Database
Definition
1. New Jersey library OCLC records (includes NJULS)
2. Other New Jersey library records in full LC MARC II format.
Notes:
--Records are created by
A. Local libraries
B. Cooperating libraries
C. Local library Cooperatives
D. Regional library Cooperatives
1. New Jersey library records built and maintained on OCLC (include NJULS) (OCLC MARC)
• New Jersey library records which contain sufficient information to allow them to be upgraded to full LC MARC II format and added to that portion maintained here.
2. New Jersey Library records built/maintained elsewhere (full LC MARC II format)
• New Jersey library records which contain sufficient information to allow them to be upgraded to full LC MARC II format and added to that portion maintained locally.
Notes:
--Records are created by
A. Local Libraries
B. Cooperating Libraries
C. Local library Cooperatives
--The data elements are determined by LC MARC II format.
--Access to, and use of, the data elements are determined by local libraries and/or cooperative operating agreements.
Processing all portions of the statewide bibliographic database which results in data which is available for access and use products
Product(s) that allow access
Product(s) that allow use
Notes:
--These may be either electronic or non-electronic products.
--Products may or may not contain full LC MARC II format.
--What is "seen" (extent of display) by the user* is determined by user needs.
*User may be local library staff or public/residents directly.
Notes:
--These may be either electronic or non-electronic products.
--Products may or may not contain full LC MARC II format.
--What is "seen" (extent of display) by the user* is determined by user needs.
*User may be local library staff or public/residents directly.

Statewide Bibliographic Database and Library Automation in New Jersey:

Working Premises

1) The statewide bibliographic database is defined as all machine readable library bibliographic records for New Jersey libraries which meet national standards.

   - The full LC MARC II format is the national standard for retrieving, storing and communicating bibliographic information for records in the New Jersey statewide bibliographic database.

   - The national standards for records in the statewide bibliographic database are:

     For record format: LC MARC II (or extension such as OCLC MARC or RLIN MARC.)

     For record content: Preferred: AACR2
     Accepted: AACR

     For serial holdings statements: ANSI Z39.44

     The specific LC MARC II fields which must be completed for records to be included in the statewide bibliographic database are yet to be determined but will be based upon the specific fields that are required elements in OCLC MARC and RLIN MARC. New Jersey will designate a NEW JERSEY MARC defining the required fields.

   - All state-funded automation activities (including retrospective conversion, local automated systems, and those building and maintaining the statewide bibliographic database) will require assurances that the project or system will accept, store, and output LC MARC II records meeting the minimum requirements for fields established for the statewide bibliographic database.

   - Encouraging libraries to follow nationally accepted standards for record format and content will continue to allow for changes in equipment, software and the combination of bibliographic records from many sources.

3) There is one New Jersey statewide bibliographic database.

   - The statewide bibliographic database contains bibliographic data about all library material resources regardless of format.

   - The statewide database contains sufficient data to make informed ILL and reference decisions.*

*As defined in the Final Report to the State Librarian of the New Jersey Library Network Committee Policies, Procedures and Protocols, August 1988.

- The statewide database contains sufficient data to allow for informed resource development decisions.

3) The New Jersey statewide bibliographic database is a multi-site database.

   - All the data in the statewide bibliographic database is not and will not be housed or maintained in a single site.

   - There is not, nor will there be, a single central "file" of bibliographic data that will be continuously updated.

   - Local and regional automation activities that create, maintain and house LC MARC II records are part of the building and maintaining of the state bibliographic database.

   - The New Jersey statewide bibliographic database is a resource sharing tool, not a bibliographic utility.

   - Libraries will need to continue participation in bibliographic utilities and continue other database creation activities to meet automation needs other than resource sharing among New Jersey libraries.

4) The New Jersey statewide bibliographic database currently includes:

   - all New Jersey library records housed and maintained on OCLC, including those records in the New Jersey Union List of Serials;

   - all records in LC MARC II format housed and maintained elsewhere for New Jersey libraries;

5) Records containing sufficient information to allow them to be upgraded to LC MARC II format will be part of the New Jersey statewide bibliographic database only after they have been upgraded.

6) The New Jersey Library Network's purpose, by law, is to provide residents with full and equal access to library materials and programs not currently available within their communities.

   - Building and maintaining a statewide bibliographic database and providing methods to access and use this database is one way of achieving this purpose.

   - All components of the Network have a role in decision making and service delivery but the State Library has the responsibility of ensuring that full and equitable access is available to all residents.

   - Provision will be made to provide full and equitable access to, and use of, the New Jersey statewide bibliographic database for all residents.

- Provision will be made to allow for the inclusion of non-Network members' holdings in the statewide bibliographic database and for the use of these resources for resource sharing.

7) The State Library has a role in, but is not wholly responsible for, adding records to and maintaining the statewide bibliographic database.

   - The State Library will continue to encourage retrospective conversion projects that result in LC MARC II records being added to the state bibliographic database.

   - Local libraries and consortiums will continue to have responsibilities for adding and maintaining records in LC MARC II format.

8) The State Library's primary role is to promote resource sharing and to support automation activities which support resource sharing.

   - Local copy information (i.e., accession numbers, bar code label numbers, etc.) will not be a priority for inclusion in products derived from the statewide bibliographic database.

   - Sufficient location information will be included in any products derived from the statewide bibliographic database to allow for informed ILL and reference decisions.

   - Local copy information will continue to be maintained and added by local libraries in their local automated systems. This will ensure that data which may be needed in the future will not be lost.

9) There may be different products available for access and use of the database both for different purposes and different users.

   - The display and/or content of bibliographic data and holdings information available to the public/residents may be different from that available to library staff.

   - The display and/or content of bibliographic data and holdings information available to a library using the state-wide database for resource sharing may well be different from the display and data available to a library for making collection development decisions.

10) Methods of accessing and using the New Jersey statewide bibliographic database, and the data available for these activities, will be designed to meet the resource sharing needs of the majority of users and the bulk of anticipated usage.

11) Funding to build, maintain, access and use the New Jersey statewide bibliographic database is an appropriate use of state (i.e., Network) and federal funds.

ACTION STEPS

Introduction

Three broad elements are related to the statewide bibliographic database as a resource sharing and information tool: to build and maintain the information included in the statewide bibliographic database; to provide access to the information contained in the statewide bibliographic database; and to provide for the use of the information contained in the statewide bibliographic database. The elements for access to and use of the database address the needs of libraries and of residents.

Each element has its own related actions steps.

Building and maintaining the information included in the New Jersey statewide bibliographic database: Action Steps

1. In January 1989, the Library Development Bureau will establish an ad hoc committee to recommend to the Bureau the appropriate classes and types of materials to be given highest priority in the guidelines for future retrospective conversion grant programs administered by the State Library. Final recommendations will be due by April 1989.

2. The State Library will continue the "retrospective conversion grant program"** to convert local library records*** to machine readable records following the LC MARC II format. Such converted records must be available for addition to that portion of the statewide bibliographic database presently housed and maintained on the OCLC Online Union Catalog. These records would also be available for local use.

3. The State Library will fund the continuing conversion and maintenance of local library records (in machine readable form following both the LC MARC II format and ANSI standards) in the New Jersey Union List of Serials (NJULS). Such converted records must be available for addition to the NJULS database presently housed and maintained on the OCLC Online Union List Subsystem.

4. The State Library will develop, no later than June 1989, a program for an ongoing grant program to fund the upgrading of existing local library machine readable bibliographic records which are not in LC MARC II format. The guidelines for such a grant program will be developed using the priorities recommended by the ad hoc committee in its April 1989 report. (See number 1 above.) Guidelines will be issued in Fall 1989 with initial projects to be completed by December 1990. Such converted records must be available for addition to that portion of the statewide bibliographic database presently housed and maintained on the OCLC Online Union Catalog. These records would also be available for local use.

5. No later than June 1989, the State Library will increase funding for the Automation Consultation Grant Program. Additional monies will be made available to encourage increased cooperative automation activities between various types of libraries.

**This program presently has two different parts. Program I allows for participation by libraries involved in the OCLC Shared Cataloging Subsystem; Program II allows for participation by libraries which agree to convert bibliographic records to machine readable records following standards outlined in the retrospective grant program guidelines and agree to add them to that portion of the database presently housed and maintained on OCLC.

***Local library is used throughout this Action Plan to refer to academic, institutional, public, school and special libraries.

Building and maintaining the information included in the New Jersey statewide bibliographic database: Action Steps

6. The Library Development Bureau will, no later than June 1989, revise the Automation Library System Implementation Grant Program to expand the present grant program to encourage greater automation cooperation between public libraries and other types of libraries. The guidelines for such a grant program will be developed to demonstrate and evaluate local cooperative automation projects which contribute to the building and maintenance of the statewide bibliographic database and to resource sharing. Guidelines will be issued in Fall 1989.

7. By April 1989, the Library Development Bureau will issue preliminary automation guidelines, checklists and decision trees to be used in helping local librarians, library staff and members of boards of governance make local automation decisions. These automation guidelines, checklists and decision trees will focus on library automation decision making for small and medium-sized libraries of all types and will specifically identify those decisions local libraries must make in order to automate their own libraries. They will also identify those decisions local libraries must make to be part of, or continue to have the potential of being part of, the New Jersey statewide bibliographic database and the overall library automation environment in New Jersey.

8. By October 1989, the State Library will contract for the establishment and maintenance of a bar code registry for all libraries in New Jersey. The Bureau will actively encourage participation and use of the registry by members of the library community.

9. By October 1989, the State Library will contract for:

   A) A consultant study and report identifying methods of adding non machine readable records to the statewide database including cost estimates for each method. The study will also recommend a method or combination of methods to be implemented, a rationale for each, and a timetable for implementation. The final report will be due April 1990.

   B) A consultant study and report identifying methods of updating holdings information in the statewide database, including cost estimates for each method. The report will also recommend a method or combination of methods to be implemented, a rationale for each, and a timetable for implementation. The final report will be due April 1990.

10. The State Library will develop, no later than June 1990, a grant program to fund the conversion of non machine readable local library records and adding them to, as well as maintaining them in, the New Jersey statewide bibliographic database using methods identified by the consultant study and report. (See number 9 above.) Such projects will be operational by January 1992.

Accessing the information included in the New Jersey statewide bibliographic database: Action Steps

1. The State Library will continue to use funds for operating the New Jersey Library Network Access Center until the results of the pilot projects testing alternative means of access to the statewide bibliographic database are evaluated.

2. All costs associated with the conversion, maintenance and production of the New Jersey Union List of Serials (NJULS) be borne by the State Library through, at least, the product issued August in 1991.

3. By March 1989, the State Library will issue guidelines for a grant program for no fewer than two, and no more than four, pilot projects to demonstrate, test and evaluate various methods for providing access to the statewide bibliographic database for libraries and for residents. Proposals will be due September 1989 and projects operational in Spring 1990.

4. By March 1989, the State Library will issue guidelines for at least two pilot projects involving regional library cooperatives demonstrating alternate methods of accessing the statewide bibliographic database, or a regional subset of the statewide bibliographic database, for resource sharing. Such projects are to be operational by September 1989.

5. By March 1989, issue an initial report prepared by State Library staff assessing present telecommunication trends, issues and potential solutions for library automation. The initial report will also outline the various alternatives to present telecommunication structures to be explored using external telecommunication expertise. It will also contain an action plan with time table for addressing this issue further using telecommunication expertise from both within and outside of State government.

6. By October 1989, the State Library will contract for a study to propose and recommend the telecommunications structure needed to support access to and use of the statewide bibliographic database both for resource sharing and direct resident access. The study will also include a timetable to implement the proposed structure. The final report will be due June 1990.

7. The State Library will fund, no later than June 1991, project(s) that will assist libraries to access the statewide bibliographic database through products or methods derived from the database. Such projects would be operational in calendar year 1992. (Projects will be based on the results and evaluation of the programs and studies called for in numbers 3, 4, 5 and 6 above.)

8. The State Library will fund, no later than June 1992, pilot projects that will assist residents to access the statewide bibliographic database through products or methods derived from the database. Such pilot projects would be operational in calendar year 1993. (Projects will be based on the results and evaluation of the programs and studies called for in numbers 3, 4, 5 and 6 above.)

Accessing the information included in the New Jersey statewide bibliographic database: Action Steps

9. The State Library will continue to fund projects identified in steps 7 and 8 above until 100 percent of the state's residents have either in-library or direct access to the statewide bibliographic database through products or methods derived from the database.

Using the information included in the New Jersey statewide bibliographic database: Action Steps

1. The State Library will continue to fund the operation of the New Jersey Library Network Access Center until the results of pilot projects testing alternative means of use are evaluated.

2. By March 1989, the State Library will issue guidelines for a grant program for no less than two and no more than four pilot projects to demonstrate, test and evaluate various methods to use, for resource sharing purpose, the statewide bibliographic database for libraries and for residents. Proposals will be due September 1989 and projects operational in Spring 1990.

3. By March 1989, the State Library will issue guidelines for at least two projects involving regional library cooperatives demonstrating alternate methods of using the statewide bibliographic database, or a regional spin-off of the statewide bibliographic database, for resource sharing. Such projects are to be operational by September 1989.

4. By March 1989, the Library Development Bureau convene a special task force to write a new interlibrary loan code for the New Jersey Library Network. The draft code will be released for discussion by September 1989.

5. The State Library, no later than June 1991, will fund project(s) that will assist libraries to use information in the statewide bibliographic database for resource sharing. Such projects would be operational in calendar year 1992. (Projects will be based on the results and evaluation of the studies proposed in this Action Plan.)

6. No later than June 1992, the State Library will fund for pilot projects that will assist residents to use information in the statewide bibliographic database. Such pilot projects would be operational in calendar year 1993. (Projects will be based on the results and evaluation of the studies proposed in this Action Plan.)

7. The State Library will continue to fund projects identified in steps 5 and 6 above until 100 percent of the state's residents have either the ability, either in-library or individually, to use the statewide bibliographic database.

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Appendix I

Continuing Education

Continuing education on all topics and for all library staff is an urgent need in New Jersey. It is important that the roles of various continuing education providers be sorted out and that a statewide continuing education needs assessment be conducted to ensure that all such efforts are aimed at the true needs of the various components of the library community.

A Continuing Education Task Force made up of representatives of the major continuing education providers in New Jersey is presently meeting. It was first convened in Fall 1988 by Leslie Burger, Project Specialist, on behalf of New Jersey State Librarian, Barbara F. Weaver. The Task Force has started discussions on coordination of continuing education offerings and is planning a formal needs assessment in 1989.

Because of the work of this Task Force and because the State Library expects that the pilot projects and studies called for in the Action Plan will help us better assess what specific training and human resource development needs will be required, specific activities will be developed after the needs assessment is completed.

Appendix II

The State Library and Automation since 1980

Many of the activities, pilot projects and studies proposed in the Action Plan would not be possible to undertake at this time without the groundwork laid by the State Library and libraries throughout New Jersey during the past eight years. The libraries of the New Jersey are in a position of strength (in terms of the number of machine readable bibliographic records and consistency in format of these records) because of the efforts of many local libraries and the partial support of these efforts by the State Library through the OCLC Implementation and Retrospective Conversion Grant Program, the Automation Consultant Grant Program and Automated Library System Implementation Grant Program.

Access to and use of that portion of the statewide bibliographic database presently housed on OCLC has been encouraged through reimbursement programs for lenders and borrowers on electronic ILL systems; through the design of such New Jersey Library Network services as the Access Center and the Citation/Location Center; through the OCLC Reference Terminals for RLC Contract Libraries Grant Program; through the New Jersey Union List of Serials (NJULS); and through the partial funding, and coordination, of the New Jersey Library Network Telefacsimile Grant Program.

The State Library, working with the Library Services and Construction Act (LSCA) Advisory Council and the Library Network Review Board (LNRB) and responding to the needs articulated by the New Jersey library community, has developed and implemented all of these programs since 1980. The willingness and enthusiasm of New Jersey libraries in participating in these programs are indications of their success.

Program Summaries, 1980 - 1988

OCLC Implementation Program (LSCA funds)

Encourages libraries to become members of OCLC by paying for start up costs and first year fees.

Number of grants awarded: 39

Number of individual libraries participating in the funded projects: 67

Retrospective Conversion Program (LSCA funds)

Provides funding for conversion of bibliographic records to machine readable form in MARC format.

Number of grants awarded: 61

Automation Consultation Grants (LSCA funds)

Provides funding for an automation consultant.

Number of grants awarded: 41

Automated Library System Implementation Grants (LSCA funds)

Provides funding for local or shared circulation and/or public access catalog systems.

Number of grants awarded: 12

New Jersey Library Network Access Center

Number of loans initiated, September 1985 through March 1989: 143,949 loans

New Jersey Library Network Citation/Location Center

Number of transactions, October 1988 through March 1989: 609 requests

OCLC Reference Terminal Grant Program, 1988 (Library Network funds)

Placed OCLC terminals in the reference department of regional contract libraries for walk in reference services in four regions.

New Jersey Library Network Telefacsimile Grant Program, 1988

Placed telefax equipment in all state contract libraries and in three regional contract libraries for reference services in six regions.

New Jersey Union List of Serials

Over 400 libraries have signed agreements to participate. Holdings of 211 libraries are accessible in the February 1989 microfiche product.

Appendix III

Ad Hoc Steering Committee to Advise the Library Development Bureau on Implementation of the Automation Blueprint

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